

Gp2181

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#12

In re application of:

GULKO, Paul et al.

Appn. No.: 09/745,011

Art Unit: 2181

Filed: December 20, 2000

Examiner: To Be Assigned

For: **METHOD AND APPARATUS FOR
PERFORMING INSURANCE
INSOLVENCY OPERATIONS**

Docket No.: GFM-00101

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GROUP 3600

I hereby certify that this correspondence is being deposited with the United States Postal Service as first-class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, Box IDS, on April 12, 2002.



Tracey Newell

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR 1.97

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Technology Center 2100

Commissioner for Patents
Washington, D.C. 20231
Box Petitions

Sir:

Submitted herewith on Form PTO-1449 is a listing of documents known to Applicants and/or their attorney in compliance with the requirements of 37 CFR 1.56. Copies of the documents are also being submitted.

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In accordance with 37 C.F.R. 1.97, Applicant believes that no fee is due since this Information Disclosure Statement (IDS) is submitted before the mailing of a first Office Action.

OFFICE OF PETITIONS

In compliance with the requirements of 37 C.F.R. §1.98(a)(3), as a concise statement of relevance, as it is presently understood by the individual designated in 35 U.S.C. §1.56(c) most knowledgeable about the content of the information, the

undersigned attorney of record submits descriptions for the following references included in the IDS.

Regarding Reference AR, in April 2000, a presentation was made before some of the members of the Board of Directors of Guaranty Fund Management Services ("GFMS") and its affiliated guaranty associations in addition to other individuals from the insurance industry. Each member of the Board of Directors is a representative of an insurance company within a particular state for which GFMS and its affiliates performs services in connection with insurance insolvency operations. Part of the presentation included showing some screenshots associated with the Assessment Module (described in the application) in which the screenshots were partially populated with input data that would be used as input by the Assessment Module software, and calculations to be performed by the Assessment Module were verbally explained since the operative computer code for implementing the Assessment Module was not written at the time. Any output data shown in the screen shots was not produced by the Assessment Module software.

The Examiner is respectfully requested to initial the space adjacent to each document on the PTO-1449 form and return a copy of the PTO-1449 form to confirm that these documents have been considered by the Examiner and made of record in this application.

Although we believe that we have appropriately provided for any fees due in connection with this submission, the Commissioner is authorized to credit any overpayment or charge any deficiencies to/from our **Deposit Account No. 501136**. Two originally-executed copies of this form are being submitted.

Should there be any questions after reviewing this paper, the Examiner is invited to contact the undersigned at (617) 951-6661.

Respectfully submitted,
HUTCHINS, WHEELER & DITTMAR



Anne E. Saturnelli
Registration No. 41,290

Date: April 12, 2002

Patent Group
Hutchins, Wheeler & Dittmar
101 Federal Street
Boston, MA 02110-1804

Form PTO-1449

Docket Number (Optional)

GFM-00101

**COPY OF PAPERS
ORIGINALLY FILED****INFORMATION DISCLOSURE CITATION
IN AN APPLICATION**

(Use several sheets if necessary)

Applicant

Gulko et al.

Filing Date

December 20, 2000

Group Art Unit

2

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|------------------|-----------------|------|------|-------|----------|----------------------------|
| AA | | | | | | |
| AB | | | | | | |
| AC | | | | | | |
| AD | | | | | | |
| AE | | | | | | |
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| AG | | | | | | |
| AH | | | | | | |
| AI | | | | | | |
| AJ | | | | | | |
| AK | | | | | | |

FOREIGN PATENT DOCUMENTS

| | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | Translation |
|----|-----------------|------|---------|-------|----------|-------------|
| | | | | | | |
| AL | | | | | | YES |
| AM | | | | | | NO |
| AN | | | | | | |
| AO | | | | | | |
| AP | | | | | | |

OTHER DOCUMENTS

(Including author, Title, Date, Pertinent Pages)

| | |
|------------|--|
| /VF/ AQ | Dan Fitzgerald Presentation dated 7/12/99 |
| /VF/ AR | Presentation of the members of the Board of Directors of Guaranty Fund Management Services dated April 2000. |
| AS | |

EXAMINER /Vanel Frenel/ DATE CONSIDERED 03/31/2008

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance not considered. Include copy of this form with next communication to the applicant.

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